

BrokerCheck Report
Jeffrey A Dewees
 CRD# 2857223

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money. Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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Jeffrey A. Dewees

CRD# 2857223

Currently employed by and registered with the following Firm(s):

IA SANCTUARY ADVISORS, LLC
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 226606
 Registered with this firm since: 09/09/2022

B SANCTUARY SECURITIES, INC.
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 205
 Registered with this firm since: 09/09/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 24 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 07/1998 - 09/2022
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 IRVINE, CA
 02/1997 - 09/2022

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 24 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**

Main Office Address: **3815 RIVER CROSSING PKWY
SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/09/2022
IA	Texas	Investment Adviser Representative	Approved	01/06/2023

Branch Office Locations

30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**

Main Office Address: **3815 RIVER CROSSING PKWY, SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/09/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/06/2023
B	California	Agent	Approved	09/09/2022
B	Colorado	Agent	Approved	01/06/2023
B	District of Columbia	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	01/06/2023
B	Georgia	Agent	Approved	01/06/2023
B	Indiana	Agent	Approved	11/11/2022
B	Maryland	Agent	Approved	01/06/2023
B	Michigan	Agent	Approved	01/06/2023
B	Montana	Agent	Approved	06/20/2024
B	Nevada	Agent	Approved	01/06/2023
B	New Jersey	Agent	Approved	01/06/2023
B	New York	Agent	Approved	01/06/2023
B	North Carolina	Agent	Approved	01/06/2023
B	Ohio	Agent	Approved	11/05/2023
B	Oklahoma	Agent	Approved	01/06/2023
B	Oregon	Agent	Approved	01/02/2024
B	Pennsylvania	Agent	Approved	11/03/2023
B	Tennessee	Agent	Approved	01/06/2023
B	Texas	Agent	Approved	01/06/2023
B	Utah	Agent	Approved	01/06/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	01/06/2023
B	Washington	Agent	Approved	01/06/2023
B	Wisconsin	Agent	Approved	02/06/2025

Branch Office Locations

SANCTUARY SECURITIES, INC.
30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656



Broker Qualifications

Industry Exams this Broker has Passed

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This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/16/2004
B General Securities Representative Examination	Series 7	02/24/1997

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/10/2003
B Uniform Securities Agent State Law Examination	Series 63	03/24/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 07/1998 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA
B 02/1997 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
09/2022 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
06/2011 - 09/2022	Bank of America, N.A.	Wealth Management Advisor	Y	IRVINE, CA, United States
10/1994 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	LAGUNA HILLS, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) AURIC CAPITAL PARTNERS

POSITION: Officer/Director NATURE: Team outside business. OBA INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 5 START DATE: 9/9/2022

ADDRESS: 30 Enterprise, ALISO VIEJO CA 92656, United States

DESCRIPTION: Owners of Auric

End of Report



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BrokerCheck Report

REINHOLD WIGAND

CRD# 2974190

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REINHOLD WIGAND

CRD# 2974190

Currently employed by and registered with the following Firm(s):

IA SANCTUARY ADVISORS, LLC
 2320 W Colorado Ave STE 103
 Colorado Springs, CO 80904
 CRD# 226606
 Registered with this firm since: 06/05/2020

B SANCTUARY SECURITIES, INC.
 2 N. Cascade Avenue, Ste. 1490
 Colorado Springs, CO 80903
 CRD# 205
 Registered with this firm since: 06/05/2020

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 10 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 NEW YORK, NY
 03/1998 - 06/2020

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 COLORADO SPRINGS, CO
 01/1998 - 06/2020

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**
 Main Office Address: **3815 RIVER CROSSING PKWY
 SUITE 200
 INDIANAPOLIS, IN 46240**
 Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	06/05/2020
IA	Texas	Investment Adviser Representative	Approved	08/24/2020

Branch Office Locations

3815 RIVER CROSSING PKWY
 SUITE 200
 INDIANAPOLIS, IN 46240

2320 W Colorado Ave STE 103
 Colorado Springs, CO 80904

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**
 Main Office Address: **3815 RIVER CROSSING PKWY, SUITE 200
 INDIANAPOLIS, IN 46240**
 Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/05/2020



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	06/05/2020

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	06/05/2020
B Arizona	Agent	Approved	06/05/2020
B Colorado	Agent	Approved	06/05/2020
B Florida	Agent	Approved	06/05/2020
B Kansas	Agent	Approved	04/03/2023
B Missouri	Agent	Approved	09/14/2023
B Oregon	Agent	Approved	06/05/2020
B Pennsylvania	Agent	Approved	06/05/2020
B Texas	Agent	Approved	06/05/2020
B Wisconsin	Agent	Approved	01/23/2023

Branch Office Locations

SANCTUARY SECURITIES, INC.

2 N. Cascade Avenue, Ste. 1490
Colorado Springs, CO 80903



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	02/18/2016
B General Securities Sales Supervisor - Options Module Examination	Series 9	02/05/2016

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	03/13/2002
B General Securities Representative Examination	Series 7	01/05/1998

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/13/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/1998 - 06/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	COLORADO SPRINGS, CO
B 01/1998 - 06/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	COLORADO SPRINGS, CO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2020 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States
06/2020 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States
05/2011 - 06/2020	Bank of America, N.A.	Producing Managers Resident Director	Y	COLORADO SPRINGS, CO, United States
11/1997 - 06/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	COLORADO SPRINGS, CO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

MEMBER OF WWWWT CONSULTING, LLC, A SMALL ENTITY CONSISTING OF FAMILY MEMBERS (1) For profit or not for profit: Non-Profit Organization Name of outside business organization: Pikes Peak United Way Investment related: N Address of business: Colorado Springs, Colorado 80903 Nature of business: Charitable Organization, Position, title, association: Committee Member, Start date of relationship: 1/1/2013 No of hours devoted: 5hrs/mo No of hours devoted during trading hours: 2 Duties: Pikes Peak United Way improves peoples' lives by creating positive impact on community conditions. (2) Trustee for five family trusts. Monument, CO Investment related. Time spent - 2 hrs/mo Start date -



Registration and Employment History

Other Business Activities, continued

7/13 (3) Board Position- Accounting & Finance Advisory Board; University of Colorado. Advise on Academic Curriculum. No investments. Date of affiliation - 2019 (4) Name: Family Cattle Farm. Position: Owner/Operator Nature: Small cattle operation. Don't anticipate that income will exceed 10-15K per year. Investment Related: No Hours: 5 Securities Trading Hours: 0 Start Date: 4/28/2021 Address: 2 N Cascade Ave, Ste. 1490, Colorado Springs, CO 80903, United States Description: Responsible for the management, acquisition and care for the livestock 5) Name: OK Cattle Position: Owner/Operator Nature: My son Sam & his wife moved to a small farm & are looking to start a small cattle operation. Income for the operation will not exceed 10-15K per year & costs will be minimal. Looking to partner friend and client of ours, Kyle Sardi in this operation. Update: During 2022, Kyle lected to no longer participate, so ownership is 50% Sam and Sarah, 50% Jane and Reinhold. Additional Update: May be other agricultural activities that occur as part of the operation, ex: raising crops, beekeeping, & others. Jane and I will partner on this endeavor. Investment Related: No Hours: 10 Securities Trading Hours: 0 Start Date: 04/28/2021 Address: 2 N. Cascade Ave, Ste. 1490, Colorado Springs, CO CO 80903, USA Description: Sam will be responsible for the management, acquisition & care for the livestock & other responsibilities related to general agricultural uses of the property. Jane & I will assist them with their responsibilities. 6) ARCHITECTURAL WOODWORK INSTITUTE POSITION: Member of Finance Committee NATURE: Trade association for architectural woodwork firms. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 2/15/2024 ADDRESS: 46179 Westlake Dr, Ste 120, Potomac Falls VA 20165, USA DESCRIPTION: Serve as a member of committee that oversees the finance function of the organization. I will not be holding or managing any of the organization's investments while serving. Part of the committee's responsibilities is to oversee the organization's investments. I will not have authority over any accounts (account access, authorization to initiate trades or other activity, disbursement authority, etc. 7) WIGAND INTEGRATED TAX AND ADVISORY POSITION: Chairman NATURE: Operating entity to provide tax, accounting, & other non-investment related advice and services ("non-investment related advice and services being defined as those that will not createthe requirement for registration as an RIA). INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 6/5/2024 ADDRESS: 2 N Cascade Ave, Colorado Springs, CO 80903, USA DESCRIPTION: High level oversight of the management & performance of the entity's operating activities.

8) INTEGRATED WEALTH HOLDINGS

POSITION: Manager NATURE: Non-operating holding company to own Wigand Integrated Wealth, Wigand Integrated Tax and Advisory & possible other subsidiaries. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 6/5/2024 ADDRESS: 2 N Cascade Ave, Colorado Springs, CO 80903, USA DESCRIPTION: Administer & oversee typical holding company activities, primarily administrative. Company will not serve clients directly but rather own the subsidiaries that do.

End of Report



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BrokerCheck Report

Jay Tamkoc

CRD# 5821927

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Jay Tamkoc

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Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 25 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**

Main Office Address: **3815 RIVER CROSSING PKWY
SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/09/2022
IA	Texas	Investment Adviser Representative	Approved	01/06/2023

Branch Office Locations

30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**

Main Office Address: **3815 RIVER CROSSING PKWY, SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/09/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/06/2023
B	California	Agent	Approved	09/09/2022
B	Colorado	Agent	Approved	01/06/2023
B	District of Columbia	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	01/06/2023
B	Georgia	Agent	Approved	01/06/2023
B	Illinois	Agent	Approved	12/10/2024
B	Indiana	Agent	Approved	11/11/2022
B	Maryland	Agent	Approved	01/06/2023
B	Michigan	Agent	Approved	01/06/2023
B	Montana	Agent	Approved	06/20/2024
B	Nevada	Agent	Approved	01/06/2023
B	New Jersey	Agent	Approved	01/06/2023
B	New York	Agent	Approved	01/06/2023
B	North Carolina	Agent	Approved	01/06/2023
B	Ohio	Agent	Approved	11/05/2023
B	Oklahoma	Agent	Approved	01/06/2023
B	Oregon	Agent	Approved	01/02/2024
B	Pennsylvania	Agent	Approved	11/03/2023
B	Tennessee	Agent	Approved	01/06/2023
B	Texas	Agent	Approved	01/06/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	01/06/2023
B	Virginia	Agent	Approved	01/06/2023
B	Washington	Agent	Approved	01/06/2023
B	Wisconsin	Agent	Approved	02/06/2025

Branch Office Locations

SANCTUARY SECURITIES, INC.
30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/12/2010

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/03/2010

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2010 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA
B 08/2010 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
09/2022 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
10/2010 - 09/2022	BANK OF AMERICA, N.A.	WEALTH MANAGEMENT ADVISOR	Y	IRVINE, CA, United States
12/2007 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	IRVINE, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) AURIC CAPITAL PARTNER

POSITION: Officer/Director NATURE: Team Outside Business Activity INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 5 START DATE: 9/9/2022

ADDRESS: 30 Enterprise, Aliso Viejo CA 92656, United States

DESCRIPTION: Owners

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Registration and Employment History



Other Business Activities, continued

End of Report



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BrokerCheck Report
William A Schellenberg
 CRD# 2376086

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Disclosure Events	9



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money. Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



William A. Schellenberg

CRD# 2376086

Currently employed by and registered with the following Firm(s):

IA SANCTUARY ADVISORS, LLC
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 226606
 Registered with this firm since: 09/09/2022

B SANCTUARY SECURITIES, INC.
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 205
 Registered with this firm since: 09/09/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 24 U.S. states and territories

This broker has passed:

- 3 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 IRVINE, CA
 07/1997 - 09/2022
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 07/1997 - 09/2022
- B COASTLINE FINANCIAL, INC.**
 CRD# 16711
 07/1993 - 05/1997

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 24 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**

Main Office Address: **3815 RIVER CROSSING PKWY
SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/09/2022
IA	Texas	Investment Adviser Representative	Approved	09/09/2022

Branch Office Locations

30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**

Main Office Address: **3815 RIVER CROSSING PKWY, SUITE 200
INDIANAPOLIS, IN 46240**

Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	09/09/2022
B	FINRA	Direct Participation Programs Principal	Approved	09/09/2022
B	FINRA	General Securities Principal	Approved	09/09/2022



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	09/09/2022
B FINRA	Invest. Co and Variable Contracts	Approved	09/09/2022
B FINRA	Investment Co./Variable Contracts Prin	Approved	09/09/2022

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/09/2022
B California	Agent	Approved	09/09/2022
B Colorado	Agent	Approved	01/06/2023
B District of Columbia	Agent	Approved	11/06/2023
B Florida	Agent	Approved	01/06/2023
B Georgia	Agent	Approved	01/06/2023
B Indiana	Agent	Approved	11/11/2022
B Maryland	Agent	Approved	01/06/2023
B Michigan	Agent	Approved	01/06/2023
B Montana	Agent	Approved	06/25/2024
B Nevada	Agent	Approved	01/06/2023
B New Jersey	Agent	Approved	01/06/2023
B New York	Agent	Approved	01/06/2023
B North Carolina	Agent	Approved	01/06/2023
B Ohio	Agent	Approved	11/05/2023
B Oklahoma	Agent	Approved	01/06/2023
B Oregon	Agent	Approved	01/02/2024



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	11/06/2023
B	Tennessee	Agent	Approved	01/06/2023
B	Texas	Agent	Approved	09/09/2022
B	Utah	Agent	Approved	01/06/2023
B	Virginia	Agent	Approved	01/06/2023
B	Washington	Agent	Approved	01/06/2023
B	Wisconsin	Agent	Approved	02/11/2025

Branch Office Locations

SANCTUARY SECURITIES, INC.

30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/19/1997
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/14/1994
B Direct Participation Programs Principal Examination	Series 39	10/08/1993

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	09/13/2004
B General Securities Representative Examination	Series 7	02/09/1995
B Investment Company Products/Variable Contracts Representative Examination	Series 6	12/07/1993
B Direct Participation Programs Representative Examination	Series 22	07/23/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/26/1997
B Uniform Securities Agent State Law Examination	Series 63	08/06/1993

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/1997 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA
IA 07/1997 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA
B 07/1993 - 05/1997	COASTLINE FINANCIAL, INC.	16711	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
09/2022 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
06/2011 - 09/2022	Bank of America, N.A.	Senior Financial Advisor	Y	IRVINE, CA, United States
05/1997 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FIRST VICE PRESIDENT-WEALTH MA; SENIOR FINANCIAL ADVISOR	Y	LAGUNA HILLS, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) Name: Mission Viejo Country Club

Position: BOD/ Golf Chair Nature: Club provides golf, swimming, tennis and dining. Investment Related: No Hours: 10 Securities Trading Hours:

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Registration and Employment History



Other Business Activities, continued

0Start Date: 09/01/2021

Address: 26200 Country Club Dr., Mission Viejo CA 92691, United States

Description: Golf Committee Chairman Scheduling golf events, tournaments.

2) AURIC CAPITAL PARTNERS

POSITION: Officer/Director NATURE: Team outside business activity OBA INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 5 START DATE: 9/9/2022

ADDRESS: 30 Enterprise, Suite 100, Aliso Viejo CA 92656, United States

DESCRIPTION: Owners of Auric

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	Customer alleges unsuitable investment recommendations from December 2018 through September 2022.
Product Type:	Other: Private Placements (e.g., PIPES, etc.)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages not specified
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/18/2023
Complaint Pending?	No
Status:	Denied

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Status Date: 09/15/2023

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Merrill Lynch

Allegations: Customer alleges unsuitable investment recommendations from December 2018 through September 2022.

Product Type: Other: Private Placements

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Damages not specified.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/18/2023

Complaint Pending? No

Status: Denied

Status Date: 09/15/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Broker

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Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: THE CLIENT ALLEGES SHE WAS NOT AWARE THAT SHE HAD TO PAY TRANSFER FEES OR MUTUAL FUND UPFRONT SALES CHARGES. ACTIVITY TOOK PLACE IN MARCH 2001. DAMAGES NOT SPECIFIED.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/12/2002

Complaint Pending? No

Status: Denied

Status Date: 08/23/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGES THAT SHE HAS SUSTAINED LOSSES IN HER ACCOUNTS AS A RESULT OF INAPPROPRIATE RECOMMENDATIONS. NO SPECIFIC DAMAGES ALLEGED.

Product Type: Equity-OTC
Mutual Fund

Alleged Damages: \$0.00

Is this an oral complaint? No



Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 02/27/2002

Complaint Pending? No

Status: Denied

Status Date: 02/28/2002

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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BrokerCheck Report

MATTHEW D MENDOZA

CRD# 5460925

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



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- **Where did this information come from?**

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- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**MATTHEW D. MENDOZA**

CRD# 5460925

Currently employed by and registered with the following Firm(s):

IA ROCKEFELLER CAPITAL MANAGEMENT
 750 University Ave , Suite 240
 Los Gatos, CA 95032
 CRD# 294197
 Registered with this firm since: 09/15/2023

IA ROCKEFELLER CAPITAL MANAGEMENT
 750 University Ave , Suite 240
 Los Gatos, CA 95032
 CRD# 291361
 Registered with this firm since: 05/27/2022

B ROCKEFELLER FINANCIAL LLC
 750 University Ave , Suite 240
 Los Gatos, CA 95032
 CRD# 291361
 Registered with this firm since: 05/27/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 32 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 04/2008 - 06/2022
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 SAN JOSE, CA
 02/2008 - 06/2022

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 32 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ROCKEFELLER CAPITAL MANAGEMENT**
 Main Office Address: **45 ROCKEFELLER PLAZA
 FLOOR 5
 NEW YORK, NY 10111**
 Firm CRD#: **294197**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/15/2023
IA	Texas	Investment Adviser Representative	Approved	09/15/2023

Branch Office Locations

750 University Ave , Suite 240
 Los Gatos, CA 95032

Employment 2 of 2

Firm Name: **ROCKEFELLER FINANCIAL LLC**
 Main Office Address: **45 ROCKEFELLER PLAZA
 FLOOR 5
 NEW YORK, NY 10111**
 Firm CRD#: **291361**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/27/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/27/2022
B	California	Agent	Approved	05/27/2022
IA	California	Investment Adviser Representative	Approved	05/31/2022
B	Colorado	Agent	Approved	05/27/2022
B	Delaware	Agent	Approved	05/27/2022
B	District of Columbia	Agent	Approved	02/21/2023
B	Florida	Agent	Approved	05/27/2022
B	Hawaii	Agent	Approved	05/27/2022
B	Idaho	Agent	Approved	05/27/2022
B	Illinois	Agent	Approved	05/27/2022
B	Indiana	Agent	Approved	05/27/2022
B	Louisiana	Agent	Approved	05/27/2022
B	Massachusetts	Agent	Approved	05/27/2022
B	Minnesota	Agent	Approved	11/21/2022
B	Missouri	Agent	Approved	05/27/2022
B	Montana	Agent	Approved	05/27/2022
B	Nebraska	Agent	Approved	04/21/2023
B	Nevada	Agent	Approved	05/27/2022
B	New Jersey	Agent	Approved	05/27/2022
B	New Mexico	Agent	Approved	05/27/2022
B	New York	Agent	Approved	05/27/2022



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	05/27/2022
B	Ohio	Agent	Approved	05/27/2022
B	Oregon	Agent	Approved	05/27/2022
B	Rhode Island	Agent	Approved	05/27/2022
B	Tennessee	Agent	Approved	05/27/2022
B	Texas	Agent	Approved	05/27/2022
IA	Texas	Investment Adviser Representative	Approved	05/27/2022
B	Utah	Agent	Approved	05/27/2022
B	Virginia	Agent	Approved	05/27/2022
B	Washington	Agent	Approved	05/27/2022
B	West Virginia	Agent	Approved	05/27/2022
B	Wisconsin	Agent	Approved	05/27/2022
B	Wyoming	Agent	Approved	05/27/2022

Branch Office Locations

ROCKEFELLER FINANCIAL LLC

750 University Ave , Suite 240
Los Gatos, CA 95032



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/14/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/24/2008

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 04/2008 - 06/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN JOSE, CA
B 02/2008 - 06/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN JOSE, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2022 - Present	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	CAMPBELL, CA, United States
05/2011 - 05/2022	BANK OF AMERICA, N.A.	Senior Financial Advisor	Y	SAN JOSE, CA, United States
12/2007 - 05/2022	MERRILL LYNCH	Senior Financial Advisor	Y	CUPERTINO, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

I*73141

FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: R2M II INVESTMENTS LLC

INVESTMENT RELATED: Y

ADDRESS OF BUSINESS:

PHILADELPHIA, PENNSYLVANIA 19130

NATURE OF BUSINESS: LLC,

POSITION, TITLE, ASSOCIATION: FAMILY HELD,

START DATE OF RELATIONSHIP: 6/25/2014

Case 3:24-cv-00440-KDB-DCK Document 67-6 Filed 02/14/25 Page 56 of 79

Registration and Employment History



Other Business Activities, continued

NUMBER OF HOURS DEVOTED: 1 HOUR(S) ANNUALLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: THIS IS A SINGLE USE LLC. IT WAS CREATED BY MY BROTHER AS AN INVESTMENT VEHICLE FOR MY FATHER TO INVEST IN AN EARLY STAGE COMPANY CALLED TRAVELNUTZ. MY BROTHER AND I ARE THE MANAGERS OF THE LLC.

I*10263

For profit or not for profit:

Name of outside business organization: Investment Property

Investment related:

Address of business:

Campbell, California 95008

Nature of business: ,

Position, title, association: ,

Start date of relationship: 11/9/2020

Number of hours devoted: 1 hour(s)

Number of hours devoted during trading hours: 0

Duties:

The Bindlestick Fund LLC, 139 Spartina Way South, Kensington, RI 02879. Investment related. The LLC was set up to invest in a private company called pHLIP Inc. I'm a passive member/investor of the LLC. Start date 10/01/2018. Zero hours spent during trading hours and zero hours per month spent on the LLC. I have no duties with the LLC, just a passive member/investor.

Skunkworks, a division of Heller House Expeditions LLC, PO Box 171305, Salt Lake City, UT 84117. Investment related. The LLC was set up to invest in a private company called Boom Technology Inc. I'm a passive investor. Start date 01/29/2021. Zero hours spent during trading hours and zero hours per month spent on the LLC. I have no duties with this entity, just a passive investor.

End of Report



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BrokerCheck Report

LUKE ROY MCKELVY

CRD# 3123057

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**LUKE R. MCKELVY**

CRD# 3123057

Currently employed by and registered with the following Firm(s):

IA SANCTUARY ADVISORS, LLC
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 226606
 Registered with this firm since: 09/09/2022

B SANCTUARY SECURITIES, INC.
 30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656
 CRD# 205
 Registered with this firm since: 09/09/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 24 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 08/2000 - 09/2022
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 IRVINE, CA
 09/1998 - 09/2022

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 24 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**
 Main Office Address: **3815 RIVER CROSSING PKWY
 SUITE 200
 INDIANAPOLIS, IN 46240**
 Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/09/2022
IA	Texas	Investment Adviser Representative	Approved	09/09/2022

Branch Office Locations

30 ENTERPRISE DR
 STE 100
 ALISO VIEJO, CA 92656

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**
 Main Office Address: **3815 RIVER CROSSING PKWY, SUITE 200
 INDIANAPOLIS, IN 46240**
 Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/09/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/09/2022
B	California	Agent	Approved	09/09/2022
B	Colorado	Agent	Approved	09/09/2022
B	District of Columbia	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	09/09/2022
B	Georgia	Agent	Approved	01/06/2023
B	Indiana	Agent	Approved	09/09/2022
B	Maryland	Agent	Approved	01/06/2023
B	Michigan	Agent	Approved	01/06/2023
B	Montana	Agent	Approved	06/20/2024
B	Nevada	Agent	Approved	01/06/2023
B	New Jersey	Agent	Approved	01/06/2023
B	New York	Agent	Approved	01/06/2023
B	North Carolina	Agent	Approved	01/06/2023
B	Ohio	Agent	Approved	11/05/2023
B	Oklahoma	Agent	Approved	01/06/2023
B	Oregon	Agent	Approved	01/02/2024
B	Pennsylvania	Agent	Approved	11/03/2023
B	Tennessee	Agent	Approved	09/09/2022
B	Texas	Agent	Approved	09/09/2022
B	Utah	Agent	Approved	01/06/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	01/06/2023
B	Washington	Agent	Approved	09/09/2022
B	Wisconsin	Agent	Approved	02/06/2025

Branch Office Locations

SANCTUARY SECURITIES, INC.
30 ENTERPRISE DR
STE 100
ALISO VIEJO, CA 92656



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	09/14/2004
B General Securities Representative Examination	Series 7	09/25/1998

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	07/24/2000

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 08/2000 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA
B 09/1998 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	IRVINE, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2022 - Present	SANCTUARY ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
09/2022 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
09/2009 - 09/2022	BANK OF AMERICA, N.A.	WEALTH MANAGEMENT ADVISOR	Y	LAGUNA HILLS, CA, United States
10/1997 - 09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	WEALTH MANAGEMENT ADVISOR	Y	LAGUNA HILLS, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) Name: El Toro High School Football

Position: VP--Facilities Nature: the football booster board Investment Related: No Hours: 2 Securities Trading Hours: 0 Start Date: 7/1/2022

Address: 25255 Toledo Way, Lake Forest CA 92630, United States

Description: maintain facilities and equipment

Registration and Employment History



Other Business Activities, continued

2) Name: El Toro High School Baseball

Position: President Nature: boosters for the Baseball program at El Toro High School Investment Related: No Hours: 2 Securities Trading Hours: 0

Start Date: 7/15/2023

Address: 25255 Toledo Way, Lake Forest CA 92630, United States

Description: agenda for meetings, help on committees

3) AURIC CAPITAL PARTNERS

POSITION: Officer/Director NATURE: Team outside business activity OBA INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 5 START DATE: 9/9/2022

ADDRESS: 30 Enterprise, Aliso Viejo CA 92656, United States

DESCRIPTION: Owner of Auric

End of Report



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BrokerCheck Report

Alon Haim

CRD# 6675480

<u>Section Title</u>	<u>Page(s)</u>
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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**Alon Haim**

CRD# 6675480

Currently employed by and registered with the following Firm(s):

IA WELLS FARGO ADVISORS
 15760 VENTURA BLVD STE 1250
 [RBO]
 ENCINO, CA 91436
 CRD# 19616
 Registered with this firm since: 07/12/2024

B WELLS FARGO CLEARING SERVICES, LLC
 15760 VENTURA BLVD STE 1250
 [RBO]
 ENCINO, CA 91436
 CRD# 19616
 Registered with this firm since: 07/12/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 11 Self-Regulatory Organizations
- 15 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- IA RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 NEW YORK, NY
 08/2019 - 07/2024
- B RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 BEVERLY HILLS, CA
 08/2019 - 07/2024
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 11/2016 - 08/2019

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 11 SROs and is licensed in 15 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/12/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/12/2024
B FINRA	General Securities Representative	Approved	07/12/2024
B NYSE American LLC	General Securities Representative	Approved	07/12/2024
B NYSE Arca, Inc.	General Securities Representative	Approved	07/12/2024
B NYSE Chicago, Inc.	General Securities Representative	Approved	07/12/2024
B Nasdaq GEMX, LLC	General Securities Representative	Approved	07/12/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	07/12/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	07/12/2024
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2024
B New York Stock Exchange	General Securities Representative	Approved	07/12/2024

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	07/12/2024
B California	Agent	Approved	07/12/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	07/12/2024
B	Connecticut	Agent	Approved	07/12/2024
B	Delaware	Agent	Approved	07/12/2024
B	Florida	Agent	Approved	07/12/2024
B	Hawaii	Agent	Approved	07/12/2024
B	Kentucky	Agent	Approved	07/12/2024
B	Maryland	Agent	Approved	07/12/2024
B	Massachusetts	Agent	Approved	07/12/2024
B	Nevada	Agent	Approved	07/12/2024
B	New York	Agent	Approved	07/12/2024
B	Tennessee	Agent	Approved	07/12/2024
B	Texas	Agent	Approved	07/12/2024
IA	Texas	Investment Adviser Representative	Approved	07/12/2024
B	Utah	Agent	Approved	07/12/2024
B	Washington	Agent	Approved	07/12/2024

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
 15760 VENTURA BLVD STE 1250
 [RBO]
 ENCINO, CA 91436



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/19/2016

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	11/07/2016

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2019 - 07/2024	RBC CAPITAL MARKETS, LLC	31194	BEVERLY HILLS, CA
IA 08/2019 - 07/2024	RBC CAPITAL MARKETS, LLC	31194	BEVERLY HILLS, CA
IA 11/2016 - 08/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ENCINO, CA
B 08/2016 - 08/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ENCINO, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2024 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ENCINO, CA, United States
08/2019 - 07/2024	City National Bank	Employee of an affiliate	Y	Beverly Hills, CA, United States
08/2019 - 07/2024	RBC Capital Markets, LLC.	Financial Advisor	Y	Beverly Hills, CA, United States
09/2016 - 08/2019	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	ENCINO, CA, United States
06/2016 - 08/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	ENCINO, CA, United States
04/2010 - 06/2016	Citizens Business Bank	SVP - Commerical Banking	N	Encino, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Registration and Employment History



Other Business Activities, continued

No information reported.

End of Report



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